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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No.**  
Hiroo IWATA et al. : Attorney Docket No. 2006\_0408A  
Serial No. 10/572,920 : Group Art Unit  
Filed March 21, 2006 : Examiner

METHOD OF INTRODUCING  
NUCLEIC ACID

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**  
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and  
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or  
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed, and an English translation of the IPER.
6. ☐ Statement Under 37 CFR 1.704(d)

Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart application, and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Hiroo IWATA et al.

By Warren M. Cheek, Jr.  
Warren M. Cheek, Jr.  
Registration No. 33,367  
Attorney for Applicants

WMC/jjv  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
November 21, 2006

## INFORMATION DISCLOSURE STATEMENT

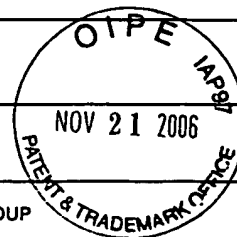
FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: November 21, 2006

ATTY DOCKET NO.  
2006\_0408ASERIAL NO.  
10/572,920APPLICANT  
Hiroo IWATA et al.FILING DATE  
March 21, 2006

GROUP



## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AH						
	AI						
	AJ						
	AK						
	AL						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

AM	PEI, R. et al.; "Assembly of Alternating Polycation and DNA Multilayer Films by Electrostatic Layer-by-Layer Adsorption"; Biomacromolecules, American Chemical Society, US, Vol. 2, No. 2, March 8, 2001, pages 463-468; XP002366101.
AN	RAPTIS, L. et al.; "In Situ Electroporation of Large Numbers of Cells Using Minimal Volumes of Material"; Analytical Biochemistry, Vol. 317, No. 1, June 1, 2003, pages 124-128; XP002404716.
AO	YAMAUCHI F. et al.; "Spatially and Temporarily Controlled Gene Transfer by Electroporation into Adherent Cells on Plasmid DNA-loaded Electrodes"; Nucleic Acids Research 2004; Vol. 32, No. 22, December 21, 2004; XP002404717
AP	YAMAUCHI F. et al.; "Layer-by-Layer Assembly of Poly(ethyleneimine) and plasmid DNA onto Transparent Indium-tin Oxide Electrodes for Temporally and Spatially Specific Gene Transfer"; Langmuir: The ACS Journal of Surfaces and Colloids; Vol 21, No. 18, August 30, 2005; pages 8360-8367; XP002404717.

EXAMINER

DATE CONSIDERED